

P07A/REV04

<b>TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT</b> (Under 37 CFR 1.97(b) or 1.97(c))				Docket No. <b>D5009-00028</b>	
In Re Application Of: <b>Loeper</b>					
Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
09/916,358	7/27/2001		08933	2164	9160
Title: <b>METHOD, SYSTEM AND COMPUTER PROGRAM FOR AUDITING FINANCIAL PLANS</b>					
<div style="text-align: center;"> <p>Address to:</p> <p><b>Commissioner for Patents</b>  <b>P.O. Box 1450</b>  <b>Alexandria, VA 22313-1450</b></p> </div> <div style="text-align: center; margin-top: 10px;"> <p><b>37 CFR 1.97(b)</b></p> </div> <p>1. <input checked="" type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.</p> <div style="text-align: center; margin-top: 20px;"> <p><b>37 CFR 1.97(c)</b></p> </div> <p>2. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:</p> <div style="margin-left: 40px; margin-top: 10px;"> <p><input type="checkbox"/> the statement specified in 37 CFR 1.97(e);</p> <p style="text-align: center; margin-top: 10px;"><b>OR</b></p> <p><input type="checkbox"/> the fee set forth in 37 CFR 1.17(p).</p> </div>					

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
D5009-00028

In Re Application: **Loeper**

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09/916,358	7/27/2001		08933	2164	9160

Title: **METHOD, SYSTEM AND COMPUTER PROGRAM FOR AUDITING FINANCIAL PLANS**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. **50-2061** as described below.
- ☐ Charge the amount of \_\_\_\_\_
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.
- ☐ Payment by credit card. Form PTO-2038 is attached.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)] on \_\_\_\_\_

7/27/2005

\_\_\_\_\_  
(Date)

  
Signature of Person Mailing Correspondence

Susan Barlett

\_\_\_\_\_  
Typed or Printed Name of Person Mailing Certificate


**\*This certificate may only be used if paying by deposit account.**

  
Signature

Dated: 7/27/2005

Jeffrey M. Chamberlain  
Reg. No. 55,044  
Duane Morris LLP  
P.O. Box 5203  
Princeton, NJ 08543-5203  
609-631-2491

CC:

<div style="text-align: center;">  </div>	ATTY DOCKET NO. <b>D5009-00028</b>	APPLICATION NO. <b>09/916,358</b>
	APPLICANT(S) <b>Loeper</b>	
	FILING DATE <b>7/27/2001</b>	GROUP ART UNIT <b>2164</b>

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
A	5,291,398	3/1/1994	Hagan	364	408	
B	5,193,056	3/9/1993	Boes	364	408	
C	4,953,085	8/28/1990	Atkins	364	408	
D	6,078,904	6/20/2000	Rebane	705	036	
E	6,064,984	5/16/2000	Ferguson et al.	705	036	

**U.S. PATENT APPLICATION PUBLICATIONS**

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
F	US2002/0138386 A1	9/26/2002	Maggioncalda et al.	705	036	7/12/2001
G	US2001/0014873 A1	8/16/2001	Henderson et al.	705	035	1/27/1999
H	US2002/0091604 A1	7/11/2002	Loeper	705	036	11/5/1999
I	US2004/0133497	7/8/2004	Spear	705	036	12/18/2003

**FOREIGN PATENT DOCUMENTS**

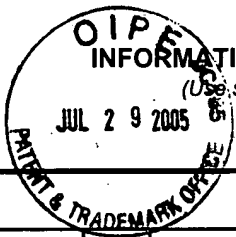
DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO
J EP1 283 488 A1	7/2001	CH	G06F 17/6			✓

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

K	"Planners Must Tailor Mutual Fund Mix to Suit Client:, Financial Services Week, August 1990, pp. 23, ISSN: 0895-8440
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<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**INFORMATION DISCLOSURE CITATION***(Use several sheets if necessary)*

JUL 29 2005

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7/27/2001

GROUP ART

2164

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	L	6,058,376	5/2/2000	Crockett	705	035	
	M	6,012,043	1/4/2000	Albright et al.	705	036	
	N	5,987,433	11/16/1999	Crapo	705	036	
	O	5,615,109	3/25/1997	Eder	395	208	
	P	5,644,727	7/1/1997	Atkins	395	240	

**U.S. PATENT APPLICATION PUBLICATIONS**

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	Q	US2004/0172357 A1	9/2/2004	Padgett	705		

**FOREIGN PATENT DOCUMENTS**

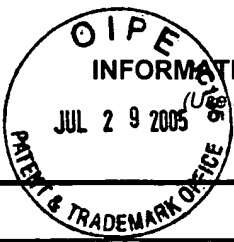
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

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	R	5,852,811	12/22/1998	Atkins	705	036	
	S	5,933,815	8/3/1999	Golden	705	035	
	T	5,864,828	1/26/1999	Atkins	705	036	
	U	5,911,136	6/8/1999	Atkins	705	036	
	V	5,911,135	6/8/1999	Atkins	705	036	

**U.S. PATENT APPLICATION PUBLICATIONS**

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**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

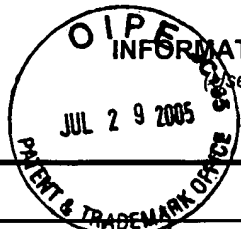
**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

		W	LARRY BIERWIRTH, "Investing in retirement: Using the Past to Model the Future", Journal of Financial Planning, v7n1, January 1994, 6 pages

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*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,884,285	3/16/1999	Atkins	705	036	
	BB	5,884,283	3/16/1999	Manos	705	030	
	CC	5,875,435	2/23/1999	Brown	705	030	
	DD	5,918,217	6/29/1999	Maggioncalda et al.	705	036	
	EE	5,819,263	10/6/1998	Bromley et al.	707	003	

**U.S. PATENT APPLICATION PUBLICATIONS**

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**FOREIGN PATENT DOCUMENTS**

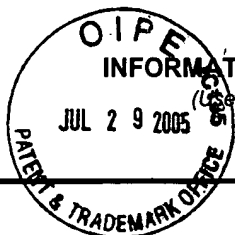
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							YES	NO

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FF		5,878,405	3/2/1999	Grant et al.	705	039	
GG		5,875,437	2/23/1999	Atkins	705	040	
HH		6,021,397	2/1/2000	Jones et al.	705	036	
II		6,340,542	1/22/2002	Inoue et al.	430	005	
JJ		5,903,879	5/11/1999	Mitchell	705	038	

**U.S. PATENT APPLICATION PUBLICATIONS**

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	Applicant(s) <b>Loeper</b>	
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**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	KK	6,012,044	1/4/2000	Maggioncalda et al.	705	036	
	LL	6,564,191	5/13/2003	Reddy	705	036	
	MM	5,946,667	8/31/1999	Tull, Jr. et al.	705	036	
	NN	6,298,334	10/2/2001	Burfield et al.	705	036	
	OO	6,026,381	2/15/2000	Barton, III et al.	705	035	

**U.S. PATENT APPLICATION PUBLICATIONS**

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**FOREIGN PATENT DOCUMENTS**

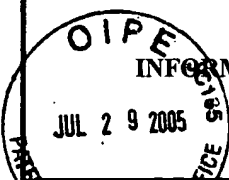
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
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U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	PP	5,774,881	6/30/1998	Friend et al.	705	036	

U.S. PATENT APPLICATION PUBLICATIONS							
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FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

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